

NOAA Disposition Handbook

Chapter 200: Administrative and Housekeeping Records

This Chapter lists the most common administrative and housekeeping records that are maintained in all levels of NOAA offices. These records include routine and facilitative records that many or all government agencies create and maintain for day-to-day administrative and management functions. These are already scheduled in the General Records Schedule (GRS), issued and approved by the National Archives.

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-01 Administrative Files

Records relating to the internal administration or housekeeping activities. In general, these records relate to:

- Office organization, staffing, procedures, and communications (including correspondence and memos);
- Expenditure of funds, including budget records;
- Day-to-day administration of office personnel;
- Training;
- Travel;
- Invoices;
- Supplies;
- Office services;
- Equipment requests and receipts; and
- Office space and utilities

May also include:

Workload reports including progress, statistical, and narrative reports forwarded to higher levels, and other materials that do not serve as unique documentation of the programs the office.

Note: These records are grouped together, but if separated, they still possess the same disposition authority. This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting an SF-115 to NARA.

For information regarding the scheduling of these records, please contact NOAA Records Management Officer.

Disposition

GRS 23, 1.

Destroy when 2 years old, or when no longer needed, whichever is sooner

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-02 Budget Records

Program office copies of materials which constitute program office input during the annual budget formulation cycle, and materials which constitute the office portion of the budget during the budget execution phase.

Disposition

GRS 5, 2.

Destroy 1 year after the close of the fiscal year covered by the budget.

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-03 Budget Tracking Files - ELECTRONIC

Electronic spreadsheets used to track office expenditures for budgetary control.

Disposition

GRS 23, 1.

Delete when 2 years old, or when no longer needed, whichever is sooner.

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-04 Combined Federal Campaign

Administrative files related to the conduct of the annual Combined Federal Campaign. (Note: Authorizations for individual allotments to the CFC are filed in the Individual Pay Files.)

Disposition

GRS 23,7.c.

Destroy when 3 months old, or when no longer needed, whichever is sooner.

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-05 Committee Management Liaison Files

Documents accumulated in serving as liaison between committees and the Department or other organizational elements.

Disposition

Destroy when 3 years old or when no longer needed for reference, whichever is sooner.

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-06 Credit/Bank Card Transactions

Copies of bank statements of credit card transactions with receiving reports and related documentation.

Disposition

GRS 23, 1.

Destroy when 2 years old, or when no longer needed, whichever is sooner.

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-07 Databases - ELECTRONIC

Reserved, pending further guidance from NARA.

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-08 EEO General Files

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation.

Disposition

GRS 1,25,g

Destroy when 3 years old, or when superseded, whichever is applicable.

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-09 E-Mail Messages - ELECTRONIC

Reserved, pending further guidance from NARA.

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-10

Finding Aids (or Indexes)

Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF-11 5, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Disposition

GRS 23, 9.

Destroy or delete with the related records, or sooner if no longer needed.

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-11

Freedom Of Information Act (FOIA) Requests Files

Files created in response to requests for information under the Freedom of Information Act, consisting of the original request, a copy of the reply thereto, and all supporting files which may include the official file copy.

Disposition

GRS 11,3

Requests denied but not appealed: Destroy 6 years after date of reply.

Requests denied but appealed: Destroy 4 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.

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FOIA Control Files

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester

Disposition

GRS 13

Registers: Destroy 6 years after date of last entry

Other files: Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

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-13

Input (into Electronic Systems) Source Records

Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (Such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

Disposition: Reserved, pending further guidance from NARA.

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-14

Key Log

Log of office keys and record of key loans.

Disposition

GRS 18, 16.b.

Destroy 6 months after turn-in of key.

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-15

Library Materials

Material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications.

Nonrecord

Discard when superseded or no longer needed.

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Personnel Files: Supervisors and Duplicate OPF Documentation

Actions, evaluations, samples of work, counseling activity, and records related to supervising staff.

- a) Supervisor's Personnel Files: Correspondence, forms, and other records relating to positions, authorizations, pending actions, position description, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.
- b) Duplicate Documentation: Other copies of documents duplicated in OPF's not provided for elsewhere in this schedule.

Disposition

GRS 1, 18.a and 18.b.

- a) Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.
- b) Destroy when 6 months old.

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Records Disposition Files

Descriptive inventories, disposal authorizations, schedules, and reports. Includes copies of SF-135 used to transfer records to the Federal Records Center. Each form contains accession number, disposal authority, date of transfer, description of material and disposal date. Copies are also maintained in the NOAA Records Management Office Files.

For information regarding the scheduling of these records, please contact NOAA's Records Manager Officer.

Disposition

GRS 16, 2.a.

Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes.

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Routine Procurement/Contract Administrative (COTR/TOM/TM) Files

Non-contract related requisitions, purchase order, lease, bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (EXCLUDING Real Property Files and Tax Exemption Files). Includes copies of records described above used by component elements of a procurement office for administrative purposes. Original records are maintained in Procurement.

Disposition

GRS 3, 3.c.

Destroy upon termination or completion.

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Schedules of Daily Activities

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits and other activities by federal employees while serving in an official capacity, created and maintained in hard copy or electronic form. EXCLUDING material determined to be personal.

- a) Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high government officials (see note).
- b) Records documenting routine activities containing no substantive information and records containing substantive information which has been incorporated into organized files.

NOTE: Unique substantive records relating to the activities of high agency-level officials must be scheduled by submission of an SF-115 to NARA.

For information regarding the scheduling of these records, please contact NOAA's Records Manager Officer.

Disposition

GRS 23, 5.

- a) Destroy or delete when 2 years old.
- b) Destroy or delete when no longer needed.

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Spread Sheets

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or background materials or feeder reports.

- a) When used to produce hard copy that is maintained in organized files.
- b) When maintained only in electronic form.

Disposition: Reserved, pending guidance from NARA.

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Suspense Log

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

Disposition

GRS 23, 6.a.

Destroy after action is taken.

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Technical Reference Materials

Publications, phone books, extra copies of administrative or procedure manuals, and directives acquired and preserved solely for reference, or stocked for general distribution or handout.

Nonrecord

Discard when superseded or no longer needed.

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-23

Time and Attendance Records - ELECTRONIC

Temporary electronic copy of employee attendance data entered into a collection program and stored on a diskette. The basis of data transfers to the FFS payroll system. Each pay period the previous data is replaced with current data. The record copy of employee attendance are the Time and Attendance Source Records maintained in each office.

Disposition: Reserved, pending guidance from NARA.

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Time and Attendance Source Records

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards, flextime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

Disposition

GRS 2, 7.

Destroy after GAO audit, or when 6 years old, whichever is sooner.

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-25

Tracking and Control Records

Logs, registers and other records in hard copy or electronic form used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA approved SF-115.

Disposition

GRS 23, 8.

Destroy or delete when no longer needed.

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Wordprocessing Files - ELECTRONIC

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Disposition: Reserved, pending guidance from NARA.